

US Department of Energy
State Energy Program (SEP) Narrative Information Worksheet
(Grant Number: EE00166)

State Title: State Government

1. Market: Buildings
2. State: Michigan
3. Program Year: 2009 Date Start: April 1, 2009 Date End: March 31, 2012
4. Topic Involved in the Overall Program Market (choose all that apply)
 - a. Energy Star
 - b. Federal, state, and local facilities
 - c. Lighting
 - d. Performance contracting
 - e. Solar power
 - f. Wind energy
 - g. Biomass energy
5. Estimated Annual Energy Savings: 558,000,000 MBtus
6. Description:

The goal of this project is three fold (1). Reduce consumption of energy in state government buildings and facilities by 20 percent by 2012; (2). Ensure all State of Michigan buildings are constructed to LEED standards and strive towards platinum level; and (3). Create private sector jobs. This will be achieved through collaborative partnerships, public and private investments in sustainable energy efficiency and energy conservation measures and by creating demand for commercially available renewable energy systems.

Energy Efficiency and Renewable Energy Activities in State Buildings

Create a list of high priority, ready-to-implement, green energy projects that can be completed within the timeframe designated in the SEP ARRA Funding Opportunity Announcement. Michigan has established a list of 2,000 work projects. These projects are being evaluated and scored on scope of work, feasibility, energy savings, projected cost, and environmental impacts. Priority will be given to highly scored energy efficiency (E2) and energy conservation projects including purchase of Energy Star products. Renewable energy systems will be deployed in state buildings, facilities, and/or properties where practical and cost effective. The screening criteria for wind projects will be based on wind speed classifications of 3 and above, barriers, and building energy usage. Solar project will be scored based on building height and orientation, roof size/characteristics, and building energy usage. Biomass energy projects will be scored based on the supply of an appropriate waste feedstock and transportation cost to the site where it will be used.

Steps are underway to leverage greater impacts through such strategies as the use of performance contracting, which will be utilized where feasible to implement retrofits and renewable energy systems. In addition, we will investigate the use of bulk purchasing of wind energy and solar energy systems to lower equipment cost, ensure availability, and expand manufacturing of these technologies in Michigan.

Michigan will emphasize energy reductions and energy efficiency assessments at state operated buildings, facilities, and properties of over 20,000 square feet and having at least 80 occupants. Michigan is accelerating the work of its Rebuild Michigan Program, Retired Engineer Technical Assistance Program, and other resources to identify opportunities for implementing high impact, low cost E2 and conservation measures. Both programs have conducted over 500 energy assessments over the last three (3) and identified slightly over 45mkwr energy saving. This is being done in accordance with Michigan Public Act (PA) 295 of 2008 Part 3, Section 133.(a) that requires the state to "establish a program of energy analysis of each state building that identifies opportunities for reducing energy use, including cost and energy savings for each such opportunity, and includes a completion schedule. Under the program, the Energy Star assessment and rating program shall be extended to all buildings owned or leased by this state." Rates of implementation and energy savings will be measured as well as an evaluation of success.

Where feasible, Michigan will collaborate with Energy Efficiency and Conservation Block Grant (EECBG) communities, utilities, and the Michigan Public Service Commission on projects of mutual interest and benefits. This includes the utility Energy Optimization programs, as well as smart grid activities and wind/solar/biomass energy projects in targeted areas.

The state will continue to evaluate the feasibility of leveraged funding mechanisms such as, revolving loan funding, loan buy-down, and loan guarantees. These mechanisms will be utilized with state departments, in concert with performance contracting for implementation of energy efficiency projects.

For renewable energy projects, the state will focus on identifying partners that can utilize the Investment Tax Credit (ITC) in concert with interagency grants to complete the projects. Where companies are not able to capture the ITC, a blended finance agreement will include grant and partial revolving loans.

Where no ITC option is available, a revolving loan mechanism is not available, and the project timeline requires immediate start up, then a direct interagency grant may be issued. This assures the state is evaluating all the potential financing mechanisms, but it also mindful of the immediacy of performance.

Michigan's overarching objectives are to reduce energy consumption in public building by 20 percent by 2012, establish green communities, create markets for renewable energy systems, and create sustainable jobs in energy efficiency and renewable energy sectors.

7. Program Year Milestones

| 1 | Milestone | Planned (Number) |
|---|---|---------------------|
| 1 | Identify high priority energy projects in state building by April 2009 | 2000 |
| 2 | Put in place system for tracking SEP ARRA project performance data i.e. number of jobs created, energy saved, etc. by June 2009 | 1 |
| 3 | Evaluate and prioritize potential grant projects by July 2009 | 1,500 |
| 4 | Conduct educational meeting with state agencies on wind energy and solar energy systems by August 2009 Provide technical assistance as necessary. | 4 |
| 5 | Put in place system for tracking SEP ARRA project performance data i.e. number of jobs created, energy saved, etc. by June 2009 | 1 |
| 6 | Issue first round loans to state agencies to implement energy efficiency, energy conservation, and renewable energy projects by September 2009 (Where feasible, grants will be conditioned with performance contracting requirement.) | 10 |

| | | |
|----|--|-----|
| 7 | Issue first round grants to state agencies to implement energy efficiency, energy conservation, and renewable energy projects by September 2009 (Where feasible, grants will be conditioned with performance contracting requirement.) | 10 |
| 8 | Conduct energy audits on state facilities to identify additional energy efficiency and conservation measures by September 2012. | 125 |
| 9 | Submit quarterly progress reports | 12 |
| 10 | Post progress reports and other pertinent information on ARRA related projects and activities on Internet. | 12 |
| 11 | Conduct quarterly meetings with grantees and partners to assess progress on metric activities, identify barriers (if any), and take corrective actions (if necessary). | 12 |
| 12 | Closeout grants and report final project activities to DOE by March 2012. | 50 |
| 12 | Evaluate impact of activities on state operations, greenhouse gas reduction, and impact on indirect job creation (if information is available) | 1 |

8. Standard Metric (required):**

| JOB METRICS | Planned |
|---------------|---------|
| Jobs Created | 609 |
| Jobs Retained | 0 |
| TOTAL JOBS | 609 |

9. Specific Metric Activity (required)**

Metric Activity: _____

| SPECIFIC METRICS | Planned |
|--|---------|
| Building Retrofits | 1,500 |
| Building Energy Audits | 125 |
| Renewable Energy Capacity and Generation | 10 |
| Technical Assistance | 50 |
| Workshops, Training, and Education | 4 |

10. User Specific Metric (optional):*

| METRIC | Planned |
|-----------------------------------|----------|
| Electricity consumption reduction | \$45M kw |
| Natural gas consumption reduction | \$2M ccf |

11. Program Year Funds by Source*

| | |
|---|--------------|
| a. SEP grant (all funds in the approved budget) | Planned |
| | \$56,000,000 |
| Market Budget Total | \$ |
| b. Leverage funds anticipated (outside approved budget) | |

* Please use additional pages if more space is needed.

** Mandatory requirement.

US Department of Energy
State Energy Program (SEP) Narrative Information Worksheet
(Grant Number: EE00166)

State Title: Implementing Energy Efficiency and Renewable Energy Systems in the Private Sector

1. Market: Industrial
2. State: Michigan
3. Program Year: 2009 Date Start: April 1, 2009 Date End: March 31, 2012
4. Topic Involved in the Overall Program Market (choose all that apply)
 - a. Financing Energy Programs
 - b. General Energy Efficiency in Industry
 - c. Industrial Processing.
 - d. Manufacturing
 - e. Procurement of Efficient Products
 - f. Biomass Power
 - g. Solar Power
 - h. Wind Power

5. Estimated Annual Energy Savings: 255,357,971 MBtus

6. Description

The goal of this project is three fold: (1) Establish a baseline on the existing energy efficiency levels of buildings and equipment in Michigan; (2) establish a revolving loan program to provide loans to small businesses for energy efficiency, energy conservation, and renewable energy systems; and (3) facilitate the adoption and deployment of renewable energy systems in the public and private sectors by providing grants, revolving loan, and other incentives to companies that can apply advanced manufacturing processes, techniques, designs, and/or use of alternative materials in the production of solar and wind turbine systems and components.

Energy Efficiency in Buildings

In order to establish a baseline on the existing energy efficiency levels of buildings and equipment in Michigan, the Bureau of Energy Systems (BES) will participate with the two major utilities in Michigan to conduct energy audits on a statistically representative sample of Michigan homes (to perform utilities) and businesses (RETAP to perform). This will establish baseline conditions for monitoring and tracking improvements in energy efficiency over time, as well as help in the description and implementation of energy efficiency program efforts. We anticipate conducting 500 onsite audits.

Deployment of Renewable Energy Systems

The adoption and deployment of renewable energy systems in the public and private sectors will be achieved through grants, revolving loan, and other incentives or combination there of to companies that can apply advanced manufacturing processes, techniques, designs, and/or use of alternative materials in the production of solar and wind turbine systems and components. Michigan will also provide incentives for other forms of energy power, such as biomass, to meet its Governor's 20 percent by 2012 goal and reduce Michigan's dependence on oil imports and energy generated by coal fired electric utilities.

Revolving Loan Program

The revolving loans when established will expand the adoption and utilization of commercially available technologies by demonstrating their effectiveness in reducing energy consumption and environmental impact such as greenhouse gases. Michigan may establish loan guarantee and or loan buy-down programs for this purpose.

Where feasible, Michigan will collaborate with Energy Efficiency and Conservation Block Grant (EECBG) communities and government agencies to purchase renewable energy systems and components manufactured in Michigan.

7. Program Year Milestones

| Milestone | | Planned (Number) |
|-----------|--|------------------|
| 1 | Put in place a system for tracking SEP ARRA project performance data i.e. number of jobs created, energy saved, etc. by June 2009 | 1 |
| 2 | Establish a grant program and revolving loan program to fund energy efficiency, energy conservation, and renewable energy systems projects by September 2009 | 2 |
| 3 | Market revolving loan program and issue loans. | 8 |
| 4 | Issue three grants for manufacturing renewable energy systems by October 2009 | 3 |
| 5 | Conduct baseline energy efficiency audit. | 250 |
| 6 | Submit quarterly progress reports | 12 |
| 7 | Post progress reports and other pertinent information on ARRA related projects and activities on Internet. | 12 |
| 8 | Conduct quarterly meetings with loan recipients to access progress on metric activities, identify barriers (if any), and take corrective actions (if necessary). | 12 |
| 9 | Closeout loan and report final project activities to DOE by March 2012. | 3 |
| 10 | Evaluate impact of activities on state operations, greenhouse gas reduction, and impact on indirect job creation (if information is available) | 1 |

8. Standard Metric (required):**

| JOB METRICS | Planned |
|---------------|---------|
| Jobs Created | 252 |
| Jobs Retained | 0 |
| TOTAL JOBS | 252 |

9. Specific Metric Activity (required)**

Metric Activity: _____

| SPECIFIC METRICS | Planned |
|---|-----------|
| Loans and Grants | 100 |
| Energy Savings | 255MMBtus |
| Industrial Process Efficiency (kwh equivalents) | TBD |
| Renewable Energy Market Development | 3 |

10. User Specific Metric (optional):*

| METRIC | Planned |
|--------|---------|
| | |
| | |

11. Program Year Funds by Source*

| | |
|---|-----------------|
| a. SEP grant (all funds in the approved budget) | Planned |
| | \$23,214,361.00 |
| Market Budget Total | \$23,214,361.00 |
| b. Leverage funds anticipated (outside approved budget) | |

* Please use additional pages if more space is needed.

** Mandatory requirement.

US Department of Energy
State Energy Program (SEP) Narrative Information Worksheet
(Grant Number: EE00166)

State Title: Advancing Opportunities for Wind Energy in Michigan

1. Market: Policy and Programming
2. State: Michigan
3. Program Year: 2009 Date Start: April 1, 2009 Date End: March 31, 2012
4. Topic Involved in the Overall Program Market (choose all that apply)
 - a. Financing energy programs
 - b. Policy and energy legislation
 - c. Public Information
 - d. State energy strategic plans
5. Estimated Annual Energy Savings: 0.00 MBtus

6. Description (executive summary of goals and objectives)

Michigan will administer the State Energy Program ARRA grant and other discretionary funding received from the U.S. Department of Energy. Administration will include financial and project management of sub-grants and contracts, quarterly financial and progress reports to DOE, and participation in DOE sponsored meetings.

Given a critical part of Michigan's 20 by 2012 energy reduction plan is depend on renewable energy systems within the state, Michigan will finance up to five (5) anemometer projects to collect wind speed data to determine wind energy potential at 100 meters. The data will be analyzed to forecast opportunities for future wind turbine investments and business attraction.

Program staff will assist in the development of state energy policy, and will work with the Governor's Office, the state legislature, other state agencies, and interested parties on a variety of energy efficiency and renewable energy issues.

7. Program Year Milestones

| Milestone | | Planned (Number) |
|-----------|---|---------------------|
| 1 | Submit quarterly financial and progress reports. | 12 |
| 2 | Assist in the development of state energy policy - continue activity throughout grant period. | NA |
| 3 | Issue grant for wind speed study at up to 5 locations across the state. | 5 |
| 4 | Complete Anemometer Projects by October 2012 and prepare composite report on findings | 1 |

8. Standard Metric (required):**

| JOB METRICS | Planned |
|---------------|---------|
| Jobs Created | 6 |
| Jobs Retained | 0 |
| TOTAL JOBS | 6 |

9. Specific Metric Activity (required)**

Metric Activity: _____

| SPECIFIC METRICS | Planned |
|---------------------|---------|
| Clean Energy Policy | 1 |

10. User Specific Metric (optional):*

| METRIC | Planned |
|--------|---------|
| | |
| | |

11. Program Year Funds by Source*

| a. SEP grant (all funds in the approved budget) | Planned |
|---|-----------|
| | \$610,000 |
| | \$ |
| Market Budget Total | \$ |
| b. Leverage funds anticipated (outside approved budget) | |
| | |
| | |
| | |

* Please use additional pages if more space is needed.

** Mandatory requirement.

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

| | | | | |
|---|--|---|--|--|
| 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application | | 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision | | If Revision, select appropriate letter(s) Other (specify): |
| 3. Date Received 03/23/2009 | | 4. Applicant Identifier: | | |
| 5a. Fed Entity Identifier: | | 5b. Federal Award Identifier: EE00166 | | |
| State Use Only: | | | | |
| 6. Date Received by State: 03/12/2009 | | 7. State Application Identifier: | | |
| 8. APPLICANT INFORMATION: | | | | |
| a. Legal Name: State of Michigan | | | | |
| b. Employer/Taxpayer Identification Number (EIN/TIN): 386000134 | | c. Organizational DUNS: 148674265 | | |
| d. Address: | | | | |
| Street 1: 611 West Ottawa St., 4th Floor | | | | |
| Street 2: PO Box 30221 | | | | |
| City: Lansing | | | | |
| County: Ingham | | | | |
| State: MI | | | | |
| Province: | | | | |
| Country: U.S.A. | | | | |
| Zip / Postal Code: 48909-7721 | | | | |
| e. Organizational Unit: | | | | |
| Department Name: Energy, Labor & Economic Growt | | Division Name: Energy Office | | |
| f. Name and contact information of person to be contacted on matters involving this application: | | | | |
| Prefix: Mr. First Name: Robert | | | | |
| Middle Name: | | | | |
| Last Name: Jackson | | | | |
| Suffix: | | | | |
| Title: Chief | | | | |
| Organizational Affiliation: | | | | |
| Telephone Number: (517)373-2731 | | Fax Number: () - | | |
| Email: jacksonr1@michigan.gov | | | | |

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

9. Type of Applicant:

A State Government (State)

10. Name of Federal Agency:

U. S. Department of Energy

11. Catalog of Federal Domestic Assistance Number:

81.041

CFDA Title:

State Energy Program

12. Funding Opportunity Number:

DE-FOA-0000052

Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Statewide

15. Descriptive Title of Applicant's Project:

State Energy Program - ARRA

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

16. Congressional District Of:

a. Applicant: 08

b. Program/Project: Statewide

Attach an additional list of Program/Project Congressional Districts if needed:

17. Proposed Project:

a. Start Date: 04/01/2009

b. End Date: 03/31/2012

18. Estimated Funding (\$):

| | |
|-------------------|---------------|
| a. Federal | 82,035,000.00 |
| b. Applicant | 0.00 |
| c. State | 0.00 |
| d. Local | 0.00 |
| e. Other | 0.00 |
| f. Program Income | 0.00 |
| g. TOTAL | 82,035,000.00 |

19. Is Application subject to Review By State Under Executive Order 12372 Process?:

- ☐ a. This application was made available to the State under the Executive Order 12372 Process for review on:
- ☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- ☒ c. Program is not covered by E.O. 12372

20. Is the applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation)

No

21. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code Title 218, Section 1001)

☐ I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: First Name:

Middle Name:

Last Name:

Suffix:

Title:

Telephone Number:

Fax Number:

Email:

Signature of Authorized Representative:

Date Signed:

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

Applicant Federal Debt Delinquency Explanation:

The following field should contain an explanation if the Applicant is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

Compliance with Davis-Bacon
State of Michigan State Energy Program
May 12, 2009

Special provisions relating to work funded under American Recovery and Reinvestment Act of 2009 (Feb 2009) require compliance with Davis Bacon Provisions.

For work performed under contracts that are funded in whole or in part, with funds appropriated by the American Recovery and Reinvestment Act of 2009, Publ. L 111-5, (Recovery Act), records shall be kept separately to assure that the records comply with the act. All laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code.

Specifically, The Davis-Bacon and Related Acts, will apply to contractors and subcontractors performing on federally funded or assisted contracts in excess of \$2,000 for the construction, alteration, or repair (including painting and decorating) of public buildings or public works. Davis-Bacon Act and Related Act contractors and subcontractors must pay their laborers and mechanics employed under the contract no less than the locally prevailing wages and fringe benefits for corresponding work on similar projects in the area. For prime contracts in excess of \$100,000, contractors and subcontractors must also, under the provisions of the Contract Work Hours and Safety Standards Act, as amended, pay laborers and mechanics, including guards and watchmen, at least one and one-half times their regular rate of pay for all hours worked over 40 in a workweek. The overtime provisions of the Fair Labor Standards Act may also apply to DBA-covered contracts. The Davis-Bacon Act prevailing wage provisions apply to the "Related Acts," under which federal agencies assist construction projects through grants, loans, loan guarantees, and insurance.

These requirements will be provided for in any contract or grant agreement to assure that provisions are complied with. Reporting and monitoring mechanisms will be put in place to assure timely reporting and compliance with the requirements. A position has been established in the Bureau of Energy Systems to assist in tracking and monitoring for these reporting requirements. Additional information and assistance will be provided as necessary to assure compliance.

Required language, assurances, penalties/sanctions provisions, as required, will be incorporated into contractual documents.

RECOVERY RAMP UP
Michigan State Energy Program (SEP)
American Recovery and Reinvestment Act (ARRA)
May 12, 2009

The state of Michigan has conducted a thorough evaluation to use ARRA –SEP funds to maximize the creation and retention of jobs; reduce energy consumption; increase the installation of renewable energy systems; and reduce greenhouse gas emissions. To this end, Michigan will be employing a number of financial mechanisms to maximize the leveraging and sustainability of the ARRA funds; to expedite the implementation of the projects selected for funding; and to build on and compliment existing programs and initiatives that drive the state towards reaching its energy goals and objectives.

Strategy for ARRA – SEP Funds:

Michigan will use ARRA-SEP monies on: (1) implementing energy efficiency upgrades and renewable energy generation at state facilities; and (2) facilitating the adoption and deployment of energy efficiency and renewable energy in the private sector by supporting the manufacture of components required for these projects

To develop this portfolio of initiatives, the state considered the following:

- Potential funding streams in the ARRA Act, as well as other federal opportunities
- Energy Goals and Objectives
- Existing programs
- Shovel Ready projects both internally and externally
- Key objectives that form the basis of the ARRA Act, i.e. energy efficiency, jobs, renewable energy installation and greenhouse gas impact

Optimizing and Targeting Funding Streams

The targeted use of funds for the ARRA-SEP was designed to compliment other state and federal funding sources. The Energy Efficiency Conservation Block Grant Program will allow cities and counties to implement energy efficiency and conservation strategies in their jurisdiction. Federal weatherization funds; additional state programs and Michigan's utility-sponsored energy efficiency programs will focus on implementing energy efficiency measures in homes and businesses. Michigan plans to use the ARRA-SEP funding to focus on energy efficiency and renewable energy measures in state buildings and stimulating clean energy manufacturing. The traditional SEP Program will still be funded, but at a small percentage compared to the ARRA-SEP and will maintain the match and expenditure caps. Thus, the traditional SEP will be focused on similar programs to those of previous years but across a broader set of fund elements.

The DELEG is also continuing to examine the competitive funding streams as the Funding Opportunity Announcements are released, and collaborating with other state agencies and external stakeholders to identify partnerships for projects that can compete well at a national level.

Energy and Climate Goals

The state's existing master plan, submitted pursuant to the Energy Policy Act of 2005, is to improve the efficient use of energy by 25 percent by the calendar year 2012, as compared to the 1990 calendar year. In addition, Michigan's Public Act 295 of 2008 establishes energy efficiency goals for state government and private utilities and a renewable portfolio standard of 10 percent by 2015. In addition, in her 2009 State of the State Address, Governor Granholm announced that the state would attempt to reduce its reliance on fossil fuels by 45 percent by the year 2020, as measured against the 2002 baseline year.

In 2007, Governor Granholm appointed a broad group of stakeholders to the Michigan Climate Action Council to develop Climate Action plan for the state. This group recently published its

recommendations, which include a statewide 20 percent reduction in greenhouse gas emissions by 2020, and an 80 percent reduction by 2050. The state of Michigan has a number of energy goals:

Program Commitment

The state of Michigan is committed to use the ARRA-SEP funds to create new programs and expand existing programs. It will also use these funds in concert with additional existing energy programs that will result in overall greater achievement in meeting the state's energy goals.

ARRA-SEP funding will help to allow Michigan's many manufacturing companies expand their businesses into clean energy manufacturing jobs, which will compliment the state's existing and successful "Green Jobs Training Program". The ARRA-SEP will also expand and enhance the state's successful Retired Engineer Technical Assistance Program ("RETAP"). In addition, the ARRA-SEP funds may be used to fund revolving loan fund programs.

Program Enhancement:

The RETAP provides energy and pollution prevention audits; technical assistance; technology demonstration grants; and maintains a student internship program for the state. The focus is on small to medium size businesses.

The annual appropriation for this program is \$1,500,000. Fiscal year (FY) 2009 is also at \$1,500,000. For FY 2008 the program conducted 120 assessments and provided 137 hours of technical assistance plus reports and in 2009 is estimated to conduct 105 assessments and 800 technical assistance hours. The state funding level of this fund will continue to be \$1,500,000 for FY 2010.

The additional funds allocated to the RETAP will be used to enhance the number of contracts for conducting audits as well as grants for the demonstration of commercially available technologies. Over the next three years, the state proposes supplementing the RETAP with 2.5 million dollars. These funds will also allow the program to increase the number of audits conducted and technology grants given. The additional funds allocated to the RETAP will allow the state to establish an energy efficiency baseline through a statistical number of audits conducted throughout the commercial and residential sectors. The state will partner with the two major investor owned utilities in Michigan to conduct these audits. The results will establish baseline conditions for monitoring and tracking improvements in energy efficiency over time, as well as help in the design and implementation of future energy efficiency program efforts. The state would contribute \$250,000 to the effort to conduct approximately 500 audits. This fund allocation is expected to be matched by each of the two major utilities resulting in a 2 to 1 leveraging of these ARRA funds.

The RETAP also has a reporting mechanism that tracks dollars saved, energy saved, waste disposal reduced, and CO2 equivalents.

Mechanisms to promote leveraging of funds:

Michigan Delivering Extended Agreements Locally (MiDEAL): The MiDEAL allows Michigan local units of government to benefit from the State's negotiating and purchasing power by permitting them to purchase from the State's contracts on the same terms, conditions, and prices as State government. Locals benefit not only from the reduced cost of goods and services, but also from indirect savings related to writing specifications, researching industries, processing invitations to bid, recruiting a diverse pool of potential suppliers, and making awards. The MiDEAL Program is authorized by Michigan legislation and has been in existence since 1975. Membership is open to any city, village, county, township, school district, intermediate school district, nonprofit hospital, institutions of higher learning, or community or junior college in Michigan. Executive Directive 2007-22 had a portion dedicated to State purchasing of Energy Efficiency and Energy Star

Purchasing, as well as a Material Management Plan. Purchasing Operations surveyed its current vendors in the areas of Janitorial Supplies, Office Supplies, and Tools and Hardware to identify those products that are considered "green" in these categories: Green Seal Approved, GreenSeal Certified, Bio-based, Bio-Renewable, Environmentally Friendly, Recycled, Energy Star Compliant, Federal Energy Management Program, EPA Program approved and EPEAT-Electronic Product Environmental Assessment Tool.

Performance Contracting: The state has had Department of Energy present training in the use of Energy Service Companies for performance contracts. In addition, the state has issued notices of intent to prequalify contractors that would be able to provide these services and accept the terms and conditions to conduct the energy efficiency efforts through performance contracting.

Revolving Loan Funds: The state has extensive experience in effectively managing revolving loan funds, e.g., State Revolving Loan Fund, Michigan Strategic Fund, Brownfield Redevelopment Loan Fund, Revitalization Revolving Loan Fund, and Small Business Pollution Prevention Loan Program. Additional loan fund and loan guarantee programs are being evaluated with the Departments of Energy, Labor, and Economic Growth, the Michigan Economic Development Corporation, and the Departments of Management and Budget, Treasury and the State Budget Office. The state is currently evaluating which mechanisms, or new mechanisms would best enhance and expedite the implementation of the ARRA-SEP funds.

Collaboration with Existing Programs

Michigan Saves: In 2009, the MPSC created and funded via the LIEEF a statewide, innovative energy efficiency and distributed renewable energy financing system called *Michigan Saves*. *Michigan Saves* will establish an administrative structure that will operate a supportive fund to serve as an initial capital pool available to finance the installation of energy efficiency measures and renewable energy systems with no up-front cost to utility customers (commercial, industrial, residential).

Green Jobs Initiative:

The ARRA – SEP strategy has been designed to create and retain jobs in the state. This effort will be supported by the robust Green Jobs Training Initiative already successfully in place. The Green Jobs Initiative, a \$6 million investment is designed to:

- Increase the number of green industries and businesses in Michigan.
- Develop green education and training programs, spurring the growth of Michigan's green economy.
- Invest in worker education and training to prepare our workers for green jobs.
- Support urban renewal by creating green jobs and training opportunities for a diverse mix of people.

The Green Jobs Initiative designs and implements training programs for green jobs in the following ways:

- *Convene Green Sector Skills Alliances* -- Michigan will invest \$1.5 million to create Green Sector Skills Alliances -- alliances of business, labor, government and educational leaders who share interest and expertise in a specific green sector of Michigan's economy. In partnership with DELEG, the alliances will bring together the resources and expertise to develop specific training programs for jobs in these green industries.
- *Build Capacity to Provide Green Jobs Training* -- Michigan will invest \$1.5 million to help community colleges, universities, and training facilities build their capacity to develop and provide training for green jobs.
- *Invest in Tuition for Green Jobs Training* -- Through the No Worker Left Behind Initiative, Michigan will provide \$3 million in tuition support for eligible individuals pursuing approved green jobs training programs at Michigan colleges and universities.

The success of this program is also a contributing factor and demonstrative of the state's ability to successfully implement programs of the size and breadth of the ARRA funds. The green jobs analysis in Michigan can be seen in the recent report announced May 11, 2009, at the DELEG hosted, state's first ever green workforce conference – "Green Today, Jobs Tomorrow" 1st Green Jobs Conference with 1,400 leaders including Governor Granholm, U.S. Senators Carl Levin and Debbie Stabenow, U.S. Department of Labor Secretary Hilda Solis and President Obama's green jobs adviser Van Jones. Coupled with this successful event was the release of the Green Jobs Report – only the second such report in the nation, prepared by the Labor Market Information & Strategic Initiatives.

- To view highlights of the report, visit:
www.michigan.gov/documents/nwlb/GJC_MI_GreenJobsReport_Onepage_277834_7.pdf
- To view the executive summary of the Green Jobs Report, please visit:
www.michigan.gov/documents/nwlb/GJC_Exec_Summary_2_277832_7.pdf
- To view the entire Green Jobs Report, please visit:
www.michigan.gov/documents/nwlb/GJC_GreenReport_Print_277833_7.pdf

Expedited Implementation

Qualitative Project Identification:

The state has conducted a number of activities that have laid the groundwork for assuring expedited implementation of projects. Both public and private entities were invited to identify an inventory of Shovel Ready Projects that met the goals of the ARRA.

Governor Granholm has created an Office of Economic Recovery to coordinate all of Michigan's planning under ARRA. The DELEG is the lead in identifying and positioning the state to capture a significant portion of the energy funds made available. To maximize the penetration of energy efficiency; conservation and renewable energy in our state, a blended and collaborative approach has been used to develop the overall use of the funds.

The DELEG assessed each of the funding opportunities and the specific characteristics, allowances, and limitations (provided in the attached summaries and in the excel spreadsheet). In addition, workgroup sessions with multiple state agencies were held to examine potential projects that could meet the ARRA requirements and cross-agency collaborations. In addition, topic workgroups were assembled around some of the competitive fund streams to facilitate strong partnerships and encourage collaborative applications for the competitive grants, even though the state may not be the applicant. These groups included external and internal participants.

State government agencies were asked to assemble an inventory of the projects that would meet the goals of the ARRA. Projects were identified (through outreach and agency self-selection) that provide energy savings opportunities. An interagency work group reviewed these projects and vetted the internal inventory to provide a qualitative prioritization of them based on their readiness and relative importance. The projects were grouped into three tiers. For final selection, there will be a quantitative project solicitation and selection process employed that will identify the projects with the greatest energy savings opportunities and job impacts, along with key distinguishing characteristics.

Quantitative Project Selection Process:

The state has developed a project solicitation process that will collect the data necessary to select projects that maximize the energy savings opportunities and assures that the metrics will be measured to document performance. Careful data collection will allow for rigorous project ranking and ensure all projects are compared on consistent criteria including: direct job-years, annual energy savings per dollar spent (BTU/\$), and annual energy generation. This quantitative selection process is currently underway. The communication during this process is also

identifying areas where bulk purchasing, performance contracting and other measures can enhance the performance.

Issuance of Purchasing Guidance and Notices of Intent:

The lead purchasing agency for the state of Michigan, Department of Management and Budget (DMB) has issued purchasing guidance document to aid state agencies in conducting valid and expedited purchasing for the use of ARRA funds.

The DMB has also issued a Notice of Intent to prequalify energy providers for energy auditing and for performance contracting solutions.

Project Pipelines for Industry/Manufacturing Sector

The Michigan Economic Development Corporation has identified a pipeline of over 2500 manufacturing supply companies within the state that have the capability to diversify into new verticals. They are continuing to work on assessing their capabilities, prepare them to work with commercially available product lines, and match them with customers. The MEDC and the DELEG are collaborating on the development of the Request for Proposal for this funding element and will be evaluating whether there are state funds and mechanisms that can be leveraged to achieve greater success.

U.S. Department of Energy
Assurance of Compliance

OMB Control No.
1910-0400

Nondiscrimination in Federally Assisted Programs

OMB Burden Disclosure Statement

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1900-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1900-0400), Washington, DC 20503.

Robert C. Jackson

(Hereinafter called the "Applicant")

HEREBY AGREES to comply with Title VI of the Civil Rights Act of 1964 (Pub. L.88-352), Section 16 of the Federal Energy Administration Act of 1974 (Pub.L.93-275), Section 401 of the Energy Reorganization Act of 1974 (Pub.L.93-438), Title IX of the Education Amendments of 1972, as amended (Pub.L.92-318, Pub.L.93-568, and Pub.L.94-482), Section 504 of the Rehabilitation Act of 1973 (Pub.L.93-112), the Age Discrimination Act of 1975 (Pub.L.94-135), Title VIII of the Civil Rights Act of 1968 (Pub.L.90-284), the Department of Energy Organization Act of 1977 (Pub.L.95-91), and the Energy Conservation and Production Act of 1976, as amended (Pub.L.94-385) and Title 10, Code of Federal Regulations, Part 1040. In accordance with the above laws and regulations issued pursuant thereto, the Applicant agrees to assure that no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity in which the Applicant receives Federal assistance from the Department of Energy.

Applicability and Period of Obligation

In the case of any service, financial aid, covered employment, equipment, property, or structure provided, leased, or improved with Federal assistance extended to the Applicant by the Department of Energy, this assurance obligates the Applicant for the period during which Federal assistance is extended. In the case of any transfer of such service, financial aid, equipment, property, or structure, this assurance obligates the transferee for the period during which Federal assistance is extended. If any personal property is so provided, this assurance obligates the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance obligates the Applicant for the period during which the Federal assistance is extended to the Applicant by the Department of Energy.

Employment Practices

Where a primary objective of the Federal assistance is to provide employment or where the Applicant's employment practices affect the delivery of services in programs or activities resulting from Federal assistance extended by the Department, the Applicant agrees not to discriminate on the ground of race, color, national origin, sex, age, or disability, in its employment practices. Such employment practices may include, but are not limited to, recruitment advertising, hiring, layoff or termination, promotion, demotion, transfer, rates of pay, training and participation in upward mobility programs; or other forms of compensation and use of facilities.

Subrecipient Assurance

The Applicant shall require any individual, organization, or other entity with whom it subcontracts, subgrants, or subleases for the purpose of providing any service, financial aid, equipment, property, or structure to comply with laws cited above. To this end, the subrecipient shall be required to sign a written assurance form, however, the obligation of both recipient and subrecipient to ensure compliance is not relieved by the collection or submission of written assurance forms.

Data Collection and Access to Records

The Applicant agrees to compile and maintain information pertaining to programs or activities developed as a result of the Applicant's receipt of Federal assistance from the Department of Energy. Such information shall include, but is not limited to, the following: (1) the manner in which services are or will be provided and related data necessary for determining whether any persons are or will be denied such services on the basis of prohibited discrimination; (2) the population eligible to be served by race, color, national origin, sex, age, and disability; (3) data regarding covered employment including use or planned use of bilingual public contact employees serving beneficiaries of the program where necessary to permit effective participation by beneficiaries unable to speak or understand English; (4) the location of existing or proposed facilities connected with the program and related information adequate for determining whether the location has or will have the effect of unnecessarily denying access to any person on the basis of prohibited discrimination; (5) the present or proposed membership by race, color, national origin, sex, age, and disability, in any planning or advisory body which is an integral part of the program; and (6) any additional written data determined by the Department of Energy to be relevant to its obligation to assure compliance by recipients with laws cited in the first paragraph of this assurance.

The Applicant agrees to submit requested data to the Department of Energy regarding programs and activities developed by the Applicant from the use of Federal assistance funds extended by the Department of Energy. Facilities of the Applicant (including the physical plants, building, or other structures) and all records, books, accounts, and other sources of information pertinent to the Applicant's compliance with the civil rights laws shall be made available for inspection during normal business hours on request of an officer or employee of the Department of Energy specifically authorized to make such inspections. Instructions in this regard will be provided by the Director, Office of Civil Rights, U.S. Department of Energy.

This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts (excluding procurement contracts), property, discounts or other Federal assistance extended after the date hereto, to the Applicants by the Department of Energy, including installment payments on account after such data of application for Federal assistance which are approved before such date. The Applicant recognizes and agrees that such Federal assistance will be extended in reliance upon the representation and agreements made in this assurance and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, the successors, transferees, and assignees, as well as the person(s) whose signature appears below and who are authorized to sign this assurance on behalf of the Applicant.

Applicant Certification

The Applicant certifies that it has complied, or that, within 90 days of the date of the grant, it will comply with all applicable requirements of 10 C.F.R. § 1040.5 (a copy will be furnished to the Applicant upon written request to DOE).

Designated Responsible Employee

Robert C. Jackson, Chief, Green Practices Section

Name and Title (Printed or Typed)

Signature

(517) 373 - 2731

Telephone Number

3/23/09

Date

State of Michigan

Applicant's Name

P.O. Box 30221

611 West Ottawa St., 4th Floor

Address:

Lansing, MI 48909-7721

(517) 373 - 2731

Telephone Number

03/23/2009

Date

Authorized Official:
President, Chief Executive Officer
or Authorized Designee

Amy Ashley Butler, Director, Bureau of Energy Systems

Name and Title (Printed or Typed)

Signature

(517) 373 - 6734

Telephone Number

3/23/09

Date

U.S. DEPARTMENT OF ENERGY

FINANCIAL ASSISTANCE

CERTIFICATIONS AND ASSURANCES

FOR USE WITH SF 424

Applicant: State of Michigan

Solicitation No.: DE-FOA-0000052

The following certifications and assurances must be completed and submitted with each application for financial assistance. The name of the person responsible for making the certifications and assurances must be typed in the signature block on the forms.

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug Free Workplace Requirements

DOE F 1600.5, Assurance of Compliance Nondiscrimination in Federally Assisted Programs

**CERTIFICATIONS REGARDING LOBBYING;
DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS;
AND DRUG FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 10 CFR Part 601 "New Restrictions on Lobbying," 10 CFR Part 606 "Governmentwide Debarment and Suspension (Nonprocurement)" and 10 CFR Part 607 "Governmentwide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Energy determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

2. ADDITIONAL LOBBYING REPRESENTATION

Applicant organizations which are described in section 501(c)(4) of the Internal Revenue Code of 1986 and engage in lobbying activities after December 31, 1995, are not eligible for the receipt of Federal funds constituting an award, grant, or loan.

As set forth in section 3 of the Lobbying Disclosure Act of 1995 as amended, (2 U.S.C. 1602), lobbying activities are defined broadly to include, among other things, contacts on behalf of an organization with specified employees of the Executive Branch and Congress with regard to Federal legislative, regulatory, and program administrative matters.

Check the appropriate block:

The applicant is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986? ☐ Yes ☒ No

If you checked "Yes" above, check the appropriate block:

The applicant represents that after December 31, 1995 it ☐ has ☐ has not engaged in any lobbying activities as defined in the Lobbying Disclosure Act of 1995, as amended.

3. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust

statutes or commission of embezzlement, theft, forgery, bribery; falsification or destruction of records, making false statements, or receiving stolen property;

- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. DRUG-FREE WORKPLACE

This certification is required by the Drug-Free Workplace Act of 1988 (Pub.L. 100-690, Title V, Subtitle D) and is implemented through additions to the Debarment and Suspension regulations, published in the Federal Register on January 31, 1989, and May 25, 1990.

ALTERNATE 1 (GRANTEES OTHER THAN INDIVIDUALS)

- (1) The grantee certifies that it will or will continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
 - (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement, or other appropriate agency;
 - (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a),(b),(c),(d),(e), and (f).

- (2) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance: (Street address, city, county, state, zip code)

P.O. Box 30221

611 West Ottawa St., 4-th Floor

Lansing, MI 48909-7721

☐ Check if there are workplaces on file that are not identified here.

ALTERNATE II (GRANTEES WHO ARE INDIVIDUALS)

- (1) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.
- (2) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

5. SIGNATURE

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

Name of Applicant: **State of Michigan**

Printed Name and Title of

Authorized Representative: **Amy Ashley Butler**

SIGNATURE

DATE

Amy A Butler

3/23/09

Federal Assistance Budget Information

OMB Burden Disclosure Statement

Public reporting burden for this collection of information is estimated to average 1.87 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-0400), Washington, DC 20503.

| | | |
|---|--|---|
| 1. Program/Project Identification No. Amendment number: | EE00166 A000 | 2. Program/Project Title State Energy Program - ARRA |
| 3. Name and Address State of Michigan 611 West Ottawa St., 4th Floor Lansing MI 48909-7721 | 4. Program/Project Start Date 04/01/2009 | 5. Completion Date 03/31/2012 |

SECTION A - BUDGET SUMMARY

| Grant Program Function or Activity (a) | Federal Catalog No. (b) | Estimated Unobligated Funds | | New or Revised Budget | | |
|---|-------------------------------|-----------------------------|--------------------|-----------------------|--------------------|------------------|
| | | Federal (c) | Non-Federal (d) | Federal (e) | Non-Federal (f) | Total (g) |
| 1. DOE | 81.041 | \$ 0.00 | | \$ 82,035,000.00 | | \$ 82,035,000.00 |
| 2. GRANTEE | | | \$ 0.00 | | \$ 0.00 | \$ 0.00 |
| 3. | | | | | | |
| 4. | | | | | | |
| 5. TOTALS | | \$ 0.00 | \$ 0.00 | \$ 82,035,000.00 | \$ 0.00 | \$ 82,035,000.00 |

SECTION B - BUDGET CATEGORIES

| 6. Object Class Categories | Grant Program, Function or Activity | | | | Total (5) |
|----------------------------|-------------------------------------|-----|-----|-----|------------------|
| | (1) DOE | (2) | (3) | (4) | |
| A. PERSONNEL | \$ 1,258,773.00 | | | | \$ 1,258,773.00 |
| B. FRINGE BENEFITS | \$ 692,325.00 | | | | \$ 692,325.00 |
| C. TRAVEL | \$ 61,700.00 | | | | \$ 61,700.00 |
| D. EQUIPMENT | \$ 28,753.00 | | | | \$ 28,753.00 |
| E. SUPPLIES | \$ 13,000.00 | | | | \$ 13,000.00 |
| F. CONTRACTUAL | \$ 79,824,361.00 | | | | \$ 79,824,361.00 |
| G. CONSTRUCTION | \$ 0.00 | | | | \$ 0.00 |
| H. OTHER | \$ 0.00 | | | | \$ 0.00 |
| I. TOTAL DIRECT CHARGES | \$ 81,878,912.00 | | | | \$ 81,878,912.00 |
| J. INDIRECT CHARGES | \$ 156,088.00 | | | | \$ 156,088.00 |
| K. TOTALS | \$ 82,035,000.00 | | | | \$ 82,035,000.00 |
| 7. PROGRAM INCOME | \$ 0.00 | | | | \$ 0.00 |

U.S. Department of Energy
Assurance of Compliance

OMB Control No.
1910-0400

Nondiscrimination in Federally Assisted Programs

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Robert C. Jackson

(Hereinafter called the "Applicant")

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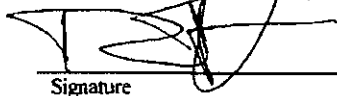
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Designated Responsible Employee

Robert C. Jackson, Chief, Green Practices Section

Name and Title (Printed or Typed)


Signature

(517) 373 - 2731

Telephone Number

3/23/09
Date

State of Michigan

Applicant's Name

P.O. Box 30221

611 West Ottawa St., 4th Floor

Address:

Lansing, MI 48909-7721

(517) 373 - 2731

Telephone Number

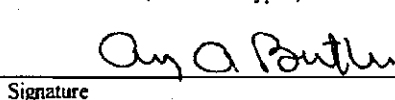
03/23/2009

Date

Authorized Official:
President, Chief Executive Officer
or Authorized Designee

Amy Ashley Butler, Director, Bureau of Energy Systems

Name and Title (Printed or Typed)


Signature

(517) 373 - 6734

Telephone Number

3/23/09
Date

U.S. DEPARTMENT OF ENERGY

FINANCIAL ASSISTANCE
CERTIFICATIONS AND ASSURANCES
FOR USE WITH SF 424

Applicant: State of Michigan

Solicitation No.: DE-FOA-0000052

The following certifications and assurances must be completed and submitted with each application for financial assistance. The name of the person responsible for making the certifications and assurances must be typed in the signature block on the forms.

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug Free Workplace Requirements

DOE F 1600.5, Assurance of Compliance Nondiscrimination in Federally Assisted Programs

**CERTIFICATIONS REGARDING LOBBYING;
DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS;
AND DRUG FREE WORKPLACE REQUIREMENTS**

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The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

2. ADDITIONAL LOBBYING REPRESENTATION

Applicant organizations which are described in section 501(c)(4) of the Internal Revenue Code of 1986 and engage in lobbying activities after December 31, 1995, are not eligible for the receipt of Federal funds constituting an award, grant, or loan.

As set forth in section 3 of the Lobbying Disclosure Act of 1995 as amended, (2 U.S.C. 1602), lobbying activities are defined broadly to include, among other things, contacts on behalf of an organization with specified employees of the Executive Branch and Congress with regard to Federal legislative, regulatory, and program administrative matters.

Check the appropriate block:

The applicant is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986? ☐ Yes ☒ No

If you checked "Yes" above, check the appropriate block:

The applicant represents that after December 31, 1995 it ☐ has ☐ has not engaged in any lobbying activities as defined in the Lobbying Disclosure Act of 1995, as amended.

3. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust

statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. DRUG-FREE WORKPLACE

This certification is required by the Drug-Free Workplace Act of 1988 (Pub.L. 100-690, Title V, Subtitle D) and is implemented through additions to the Debarment and Suspension regulations, published in the Federal Register on January 31, 1989, and May 25, 1990.

ALTERNATE I (GRANTEES OTHER THAN INDIVIDUALS)

- (1) The grantee certifies that it will or will continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
 - (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement, or other appropriate agency;
 - (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a),(b),(c),(d),(e), and (f).

- (2) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance: (Street address, city, county, state, zip code)

P.O. Box 30221

611 West Ottawa St., 4-th Floor

Lansing, MI 48909-7721

☐ Check if there are workplaces on file that are not identified here.

ALTERNATE II (GRANTEES WHO ARE INDIVIDUALS)

- (1) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.
- (2) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

5. SIGNATURE

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

Name of Applicant: **State of Michigan**

Printed Name and Title of

Authorized Representative: **Amy Ashley Butler**

Amy A Butler
SIGNATURE

3/23/09
DATE

U.S. DEPARTMENT OF ENERGY
GOLDEN FIELD OFFICE



BUDGET EXPLANATION FOR FORMULA GRANTS

Applicant: State of Michigan

Budget period: 04/01/2009 - 03/31/2012

Award number: EE00166

Amendment number: A000

1. **PERSONNEL** - Prime Applicant only (all other participant costs are listed in 6 below and form DOE F 4600.4, Section B, Line 6.f. Contracts and Sub-Grants).

Positions to be supported under the proposed award and brief description of the duties of professionals:

| Position | Description of Duties of Professionals |
|---|--|
| Dep. Director 20 (1) | Oversee energy operations within Department of Energy, Labor, and Economic Growth. |
| Bureau Director SAE (1) | Oversee Bureau operations and budgets and approves program plans, policies and procedures. |
| State Administrative Manager 15 (1) | Manages reviews and evaluate the work of analyst and engineers, prepare program plans and budget, participates in program reviews and recommend policies and procedures. |
| Department Administrator | Manages reviews and evaluate the work of analyst and engineers, prepare program plans and budget, participates in program reviews and recommend policies and procedures. |
| Secretary A | Provides support to the Bureau Director and Administrative Manager. |
| Secretary B | Provide Department Administrator and Bureau staff secretarial and clerical support. |
| Environmental Quality Analyst 13 (2) | Provide technical services to agricultural, bio-fuel operations, and other clients. |
| Environmental Engineer 12 (1) | Oversee the Retired Engineer Technical Assistance Program (RETAP) which provides energy efficiency and energy conservation assessment services to small business and-public entities. Conduct energy audits on public building. |
| General Engineer 12 (1) | Serve as a technical advisor on energy efficiency, energy conservation, and renewable energy matters. Manage projects related to ARRA program activities. |
| Department Analyst 12 (1) | Serve as ARRA activities coordinator/monitor. Ensure management reporting systems are in place for tracking ARRA funded activities, reporting quarterly progress, and establishing standard operating practices for quality assurance and data tracking. |
| Department Analyst 11 (2) | Serve as ARRA state buildings grants manager. Also serve as ARRA industrial and commercial grants manager. Assist Revolving Loan Program manager. |
| Financial Analyst 12 | Serve as ARRA financial coordinator. Oversee financial activities related to ARRA including audits. Ensure internal controls are in place for internal control evaluation reporting. |
| Building Student Assistant | Assist in providing information and services to state building managers and industrial/commercial customers. |
| Financial & Human Resources Support Staff | Provide Fed Aid support and human resource support to Bureau. |
| Rounding Error Compensation | So totals will match the amount budgeted in the SF-4524A Budget |

Direct Personnel Compensation:

| Position | Salary/Rate | Time | Direct Pay |
|-------------------------|--------------|---------|-------------|
| Dep. Director 20 (1) | \$424,809.22 | 5 % FT | \$21,240.46 |
| Bureau Director SAE (1) | \$386,066.30 | 20 % FT | \$77,213.26 |

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| | | | |
|---|--------------|----------|----------------|
| State Administrative Manager 15 (1) | \$296,639.62 | 50 % FT | \$148,319.81 |
| Department Administrator | \$266,917.25 | 15 % FT | \$40,037.59 |
| Secretary A | \$168,859.39 | 5 % FT | \$8,442.97 |
| Secretary B | \$143,744.64 | 5 % FT | \$7,187.23 |
| Environmental Quality Analyst 13 (2) | \$22,362.16 | 100 % FT | \$22,362.16 |
| Environmental Engineer 12 (1) | \$214,936.00 | 100 % FT | \$214,936.00 |
| General Engineer 12 (1) | \$214,939.00 | 100 % FT | \$214,939.00 |
| Department Analyst 12 (1) | \$78,109.00 | 100 % FT | \$78,109.00 |
| Department Analyst 11 (2) | \$195,249.60 | 100 % FT | \$195,249.60 |
| Financial Analyst 12 | \$97,624.80 | 100 % FT | \$97,624.80 |
| Building Student Assistant | \$12,470.00 | 100 % FT | \$12,470.00 |
| Financial & Human Resources Support Staff | \$120,641.00 | 100 % FT | \$120,641.00 |
| Rounding Error Compensation | \$0.12 | 100 % FT | \$0.12 |
| Direct Pay Total | | | \$1,258,773.00 |

2. FRINGE BENEFITS

- Are the fringe cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and include a copy of the rate agreement.
- If a above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations as an attachment.

Fringe Benefits Calculations

| Position | Direct Pay | Rate | Benefits |
|---|--------------|----------|--------------|
| Dep. Director 20 (1) | \$21,240.46 | 55.00 % | \$11,682.25 |
| Bureau Director SAE (1) | \$77,213.26 | 55.00 % | \$42,467.29 |
| State Administrative Manager 15 (1) | \$148,319.81 | 55.00 % | \$81,575.90 |
| Department Administrator | \$40,037.59 | 55.00 % | \$22,020.67 |
| Secretary A | \$8,442.97 | 55.00 % | \$4,643.63 |
| Secretary B | \$7,187.23 | 55.00 % | \$3,952.98 |
| Environmental Quality Analyst 13 (2) | \$22,362.16 | 55.00 % | \$12,299.19 |
| Environmental Engineer 12 (1) | \$214,936.00 | 55.00 % | \$118,214.80 |
| General Engineer 12 (1) | \$214,939.00 | 55.00 % | \$118,216.45 |
| Department Analyst 12 (1) | \$78,109.00 | 55.00 % | \$42,959.95 |
| Department Analyst 11 (2) | \$195,249.60 | 55.00 % | \$107,387.28 |
| Financial Analyst 12 | \$97,624.80 | 55.00 % | \$53,693.64 |
| Building Student Assistant | \$12,470.00 | 55.00 % | \$6,858.50 |
| Financial & Human Resources Support Staff | \$120,641.00 | 55.00 % | \$66,352.55 |
| Rounding Error Compensation | \$0.12 | -70.00 % | \$-0.08 |
| Fringe Benefits Total | | | \$692,325.00 |

3. TRAVEL - Identify total foreign and domestic travel as separate items.

| Purpose of Trip | Number of Trips | Cost Per Trip | Total |
|--|-----------------|---------------|-------------|
| In state ARRA project/subgrantee monitoring, federal assistance, and meetings (occasional overnight visits - estimated at state rate.) | 100 | \$419.00 | \$41,900.00 |

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| | | | |
|---|---|--------------|-------------|
| Attend Regional DOE SEP meeting per year - one (1) staff person | 3 | \$1,600.00 | \$4,800.00 |
| Attend annual NASEO meeting - one (1) staff person | 3 | \$1,600.00 | \$4,800.00 |
| National Energy Conference | 3 | \$1,600.00 | \$4,800.00 |
| Energy related technical training | 6 | \$900.00 | \$5,400.00 |
| | | Travel Total | \$61,700.00 |

b. Basis for computation of travel expenses (e.g., current airline quotes, past trips, federal or organization travel policy, etc.):

All expenses related to travel are paid in accordance with State of Michigan Standardized Travel Regulations. Travel expenses are estimated based on past trips of a similar nature.

4. **EQUIPMENT** - As defined in 10 CFR 660.202. Definitions are at http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr660_202.html

a. Basis of cost estimates (e.g., vendor quotes, prior purchases of similar or like items, etc.):

The Michigan Department of Information Technology (DIT) solicits and manages contracts for state government computer hardware and software regardless of funding source. The Bureau of Energy Systems will seek its parent department (DeLEG) approval to justify the need for replacement units and, if approved, will be billed through a state budget line item called "Charges from DIT".

b. Equipment to be purchased and justification of need:

| Equipment | Unit Cost | Number | Total Cost | Justification of Need |
|---|------------|--------|-------------|--|
| Desktop computer | \$2,000.00 | 5 | \$10,000.00 | Three (2) workstation are need to support new staff hired to carryout ARRA responsibilities. The remaining two (2) workstations are replacement out-of-warranty, obsolete models (5yr +per p.c.) |
| Printer | \$1,101.00 | 1 | \$1,101.00 | Printer is replacement for out-of-warrenty/obsolete printer (5yr + per printer). |
| Telecommunication: cell phones/service and equipment usage. | \$5,884.00 | 3 | \$17,652.00 | Equipment needed to support program activities. |
| Equipment Total | | | \$28,753.00 | |

5. **MATERIALS AND SUPPLIES** - As defined in 10 CFR 660.202.

a. Basis cost estimates (e.g., vendor quotes, prior purchases of like items, etc.):

b. Supplies to be purchased and justification of need:

| General Category | Cost | Justification of Need |
|------------------------------|-------------|---|
| General office supplies | \$6,000.00 | Necessary to provide administrative support and implement programs. |
| Printing | \$7,000.00 | Necessary to provide administrative support and implement programs. |
| Materials and Supplies Total | \$13,000.00 | |

6. **CONTRACTS AND SUBGRANTS** - All other participant costs including subcontractor sub-grants, and consultants For ongoing subcontractors and sub recipients described elsewhere in the application, document and item numbe is listed.

| Name of Proposed Sub | Total Cost | Basis of Cost* |
|--|-----------------|---|
| State Buildings (Revolving loans, performance contracting, and grants) | \$56,000,000.00 | Based on energy audits, engineering estimates, and qualitative inventory of projects. |

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| | | |
|--|--------------|--|
| Industrial (Revolving loans, grants, and potentially \$23,214,361.00 loan guarantee) | | Based on current available data and need assessment conducted through the Michigan Economic Development Corporation. |
| Policy and Programming | \$610,000.00 | Based on current available data and need assessment conducted through the Michigan Economic Development Corporation. |
| Contracts and Subgrants Total | | \$79,824,361.00 |

*For example, Competitive, Historical, Quote, Catalog

7. **OTHER DIRECT COSTS** - All direct costs not included in above categories

a. Basis for cost estimates (e.g., vendor quotes, prior purchase of similar items, etc.):

b. Other direct costs and justification of need:

| General Description | Cost | Justification of Need |
|---------------------|------|-----------------------|
|---------------------|------|-----------------------|

8. **INDIRECT COSTS**

a. Are the indirect cost rates approved by a Federal agency? If so, identify the agency and date of latest rate agreement or audit and provide a copy of the rate agreement.
The indirect rate is approved by the U.S. Department of Labor. On 8/13/08, a new agreement was signed with the MI Department of Energy, Labor & Economic Growth. The indirect rate is 5.5%

b. If the above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations separately.

The name and phone number of the individual responsible for negotiating the State's indirect cost rates.

Name: Allen Pohl, Chief Financial Officer, MI Department of Phone Number: (517)335-1976

Indirect costs calculations:

| Indirect Cost Account | Direct Total | Indirect Rate | Total Indirect |
|-----------------------|----------------|---------------|----------------|
| Personnel | \$1,951,098.00 | 8.00 % | \$156,087.84 |
| Indirect Costs Total | | | \$156,087.84 |

Applicant Name: State of Michigan

Award Number: EE00166

OMB Approval No. 0348-0044

Budget Information - Non Construction Programs

| Section A - Budget Summary | | | | | | |
|---|--|-------------------------------------|--------------------|-----------------------|--------------------|--------------|
| Grant Program Function or Activity (a) | Catalog of Federal Domestic Assistance Number (b) | Estimated Unobligated Funds | | New or Revised Budget | | |
| | | Federal (c) | Non-Federal (d) | Federal (e) | Non-Federal (f) | Total (g) |
| 1. State Energy Program | 81.041 | \$82,035,000 | | | | \$82,035,000 |
| 2. | | | | | | \$0 |
| 3. | | | | | | \$0 |
| 4. | | | | | | \$0 |
| 5. Totals | | \$82,035,000 | \$0 | \$0 | \$0 | \$82,035,000 |
| Section B - Budget Categories | | | | | | |
| 6. Object Class Categories | | Grant Program, Function or Activity | | | | Total (5) |
| | | (1) | (2) | (3) | (4) | |
| a. Personnel | | \$1,258,773 | | | | \$1,258,773 |
| b. Fringe Benefits | | \$692,325 | | | | \$692,325 |
| c. Travel | | \$61,700 | | | | \$61,700 |
| d. Equipment | | \$28,753 | | | | \$28,753 |
| e. Supplies | | \$13,000 | | | | \$13,000 |
| f. Contractual | | \$79,824,361 | | | | \$79,824,361 |
| g. Construction | | | | | | \$0 |
| h. Other | | | | | | \$0 |
| i. Total Direct Charges (sum of 6a-6h) | | \$81,878,912 | \$0 | \$0 | \$0 | \$81,878,912 |
| j. Indirect Charges | | \$156,088 | | | | \$156,088 |
| k. Totals (sum of 6i-6j) | | \$82,035,000 | \$0 | \$0 | \$0 | \$82,035,000 |
| | | | | | | |
| 7. Program Income | | | | | | \$0 |

Section C - Non-Federal Resources

| (a) Grant Program | (b) Applicant | (c) State | (d) Other Sources | (e) Totals |
|---------------------------------|---------------|-----------|-------------------|------------|
| 8. | | | | \$0 |
| 9. | | | | \$0 |
| 10. | | | | \$0 |
| 11. | | | | \$0 |
| 12. Total (sum of lines 8 - 11) | \$0 | \$0 | \$0 | \$0 |

Section D - Forecasted Cash Needs

| | Total for 1st Year | 1st Quarter | 2nd Quarter | 3rd Quarter | 4th quarter |
|------------------------------------|--------------------|-------------|-------------|--------------|--------------|
| 13. Federal | \$41,017,500 | | | \$13,672,500 | \$27,345,000 |
| 14. Non-Federal | \$0 | | | | |
| 15. Total (sum of lines 13 and 14) | \$41,017,500 | \$0 | \$0 | \$13,672,500 | \$27,345,000 |

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project

| (a) Grant Program | Future Funding Periods (Years) | | | |
|--------------------------------|--------------------------------|--------------|-----------|------------|
| | (b) First | (c) Second | (d) Third | (e) Fourth |
| 16. State Energy Program | | \$41,017,500 | | |
| 17. | | | | |
| 18. | | | | |
| 19. | | | | |
| 20. Total (sum of lines 16-19) | \$0 | \$41,017,500 | | \$0 |

Section F - Other Budget Information

| | | | | |
|----------------------|--|--|--|--|
| 21. Direct Charges | | | | |
| \$81,967,001.00 | | | | |
| 22. Indirect Charges | | | | |
| \$67,999.00 | | | | |
| 23. Remarks | | | | |

Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal Domestic Assistance Catalog number) and not requiring a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i—Show the totals of Lines 6a to 6h in each column.

Line 6j—Show the amount of indirect cost.

Line 6k—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

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Section C. Non-Federal Resources

Lines 8-11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a)—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b)—Enter the contribution to be made by the applicant.

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d)—Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e)—Enter totals of Columns (b), (c), and (d).

Line 12—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13—Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14—Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15—Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19—Enter in Column (a) the same grant program titles shown in Column

(a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper column amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23—Provide any other explanations or comments deemed necessary.